

FORM PTO-1390

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY DOCKET NUMBER
THOM-0012TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371U.S. APPLICATION NO. (if known see 37 C.F.R. 1.5)
09/646,032INTERNATIONAL APPLICATION NO.
PCT/GB99/00765INTERNATIONAL FILING DATE
15 March 1999PRIORITY DATE CLAIMED
13 March 1998

TITLE OF INVENTION FIELD EMISSION CATHODE AND FIELD EMISSION DISPLAY

APPLICANT(S) FOR DO/EO/US William ECCLESTON, et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☐ A copy of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☐ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) 35 U.S.C. 371(c)(4).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☐ Other items or information:

EXPRESS MAIL Mailing Label No.

Date of Deposit: **January 2, 2001**

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

MAILER **Robert Galonsky**

SIGNATURE

RECEIVED
JAN - 9 2001
TECHNOLOGY CENTER 2900

U.S. APPLICATION NO. (if known 37 C.F.R. 1.5) 09/646,032	INTERNATIONAL APPLICATION NO. PCT/GB99/00765	ATTORNEY DOCKET NUMBER THOM-0012
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17. <u> </u> The following fees are submitted: Basic National Fee (37 CFR 1.492(a)(1) - (5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... \$1,000.00 International preliminary examination fee (37 CFR 1.482 not paid to USPTO but International Search Report has been prepared by the EPO or JPO..... \$860.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... \$710.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$690.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4)..... \$100.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>	<div style="border-bottom: 1px solid black; padding-bottom: 5px;"> CALCULATIONS PTO USE ONLY </div>																
Surcharge of \$130.00 for furnishing the oath or declaration later than <u> </u> 20 <u> </u> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">\$</div>																
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 15%;">Claims</th> <th style="width: 20%;">Number Filed</th> <th style="width: 20%;">Number Extra</th> <th style="width: 20%;">Rate</th> </tr> <tr> <td>Total claims</td> <td>17 - 20 =</td> <td>0</td> <td>X \$18.00</td> </tr> <tr> <td>Independent Claims</td> <td>3 - 3 =</td> <td>0</td> <td>x \$80.00</td> </tr> <tr> <td colspan="3">Multiple dependent claims(s) (if applicable)</td> <td>+ \$270.00</td> </tr> </table>	Claims	Number Filed	Number Extra	Rate	Total claims	17 - 20 =	0	X \$18.00	Independent Claims	3 - 3 =	0	x \$80.00	Multiple dependent claims(s) (if applicable)			+ \$270.00	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">\$</div>
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Total claims	17 - 20 =	0	X \$18.00														
Independent Claims	3 - 3 =	0	x \$80.00														
Multiple dependent claims(s) (if applicable)			+ \$270.00														
TOTAL OF ABOVE CALCULATIONS =	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">\$</div>																
<u> </u> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">\$</div>																
SUBTOTAL =	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">\$</div>																
Processing fee of \$130.00 for furnishing the English translation later than <u> </u> 20 <u> </u> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">+ \$</div>																
TOTAL NATIONAL FEE =	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">\$</div>																
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">+ \$</div>																
TOTAL FEES ENCLOSED =	<div style="border-bottom: 1px solid black; padding-bottom: 5px;">\$</div>																
<div style="border-bottom: 1px solid black; padding-bottom: 5px;"></div>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; text-align: right;">Amount to be:</td> <td style="width: 40%;"></td> </tr> <tr> <td style="text-align: right;">refunded</td> <td style="text-align: center;">\$</td> </tr> <tr> <td style="text-align: right;">charged</td> <td style="text-align: center;">\$</td> </tr> </table>	Amount to be:		refunded	\$	charged	\$										
Amount to be:																	
refunded	\$																
charged	\$																

a. A check in the amount of \$ to cover the above fee is enclosed.

b. Please charge my Deposit Account No. 23-3050 in the amount of \$ to cover the above fees. A duplicate copy of this sheet is enclosed.

c. X The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3050. A duplicate copy of this sheet is enclosed.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO: John W. Caldwell Woodcock Washburn Kurtz Mackiewicz & Norris LLP One Liberty Place - 46th Floor Philadelphia, PA 19103 (215) 568-3100	<div style="text-align: center;"> </div> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">SIGNATURE</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">John W. Caldwell</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">NAME</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">28,937</div> <div style="border-bottom: 1px solid black; padding-bottom: 5px; text-align: center;">REGISTRATION NUMBER</div>
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DOCKET NO.: THOM-0012

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of : **William Eccleston et. al.**

U.S. Serial No.: **09/646,032**

International Application Number: **PCT/GB99/00765**

International Filing Date: **15 March 1999**

Group Art Unit: **Not Yet Assigned**

Examiner: **Not Yet Assigned**

For: **FIELD EMISSION CATHODE AND FIELD EMISSION DISPLAY**

Assistant Commissioner for Patents

Washington, D.C. 20231

Attn: BOX PCT

Dear Sir:

PRELIMINARY AMENDMENT

Applicant requests that the above-captioned application be amended, before examination and without prejudice, as follows:

Enclosed are replacement sheets 4, 7. No new matter has been added.

Please make the following amendments:

In the Abstract:

Please add the following Abstract to the application: